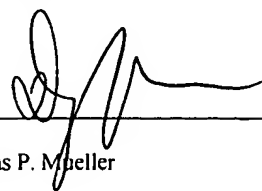


| | | | |
|---|---|---|--|
| FORM PTO-1390 (REV 10-94) | | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTORNEY'S DOCKET NUMBER 10873.1575USWO |
| TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 | | | U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) Unknown 10/576946 |
| INTERNATIONAL APPLICATION NO. PCT/JP2004/017431 | INTERNATIONAL FILING DATE 17 November 2004 | PRIORITY DATE CLAIMED 19 November 2003 | |
| TITLE OF INVENTION METHOD FOR PRODUCING NITRIDOSILICATE-BASED COMPOUND, NITRIDOSILICATE PHOSPHOR, AND LIGHT-EMITTING APPARATUS USING THE NITRIDOSILICATE PHOSPHOR | | | |
| APPLICANT(S) FOR DO/EO/US OSHIO | | | |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: | | | |
| <ol style="list-style-type: none"> 1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. 2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371. 3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(l). 4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date. 5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2)) <ol style="list-style-type: none"> a. <input checked="" type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau). b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau. c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US) 6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)). 7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3)) <ol style="list-style-type: none"> a. <input type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau). b. <input type="checkbox"/> have been transmitted by the International Bureau. c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired. d. <input checked="" type="checkbox"/> have not been made and will not be made. 8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)). 9. <input checked="" type="checkbox"/> A signed oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)). 10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)). | | | |
| Items 11. to 16. below concern document(s) or information included: | | | |
| 11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form 1449, 15 references. | | | |
| 12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. | | | |
| 13. <input checked="" type="checkbox"/> A FIRST preliminary amendment. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment. | | | |
| 14. <input checked="" type="checkbox"/> A substitute specification. | | | |
| 15. <input type="checkbox"/> A change of power of attorney and/or address letter. | | | |
| 16. <input checked="" type="checkbox"/> Other items or information: Application Data Sheet, Communication Regarding Requested Figure, Marked-up Copy of Specification, International Publication Page, Form PCT/ISA/210, Form PCT/ISA/237, Form PCT/IB/304, Form PCT/IB/308 | | | |

| | | | | | |
|---|--------------|---|------------|--------------------------|---|
| U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5) | | INTERNATIONAL APPLICATION NO. | | ATTORNEY'S DOCKET NUMBER | |
| Unknown 10/576946 | | PCT/JP2004/017431 | | 10873.1575USWO | |
| BASIC NATIONAL FEE (37 CFR 1.492(a) (1)-(5)): | | | | | |
| [X] a) Basic National fee..... | | | | \$300.00 | \$300.00 |
| [X] b) Examination fee..... | | | | \$200.00 | \$200.00 |
| [X] c) Search fee..... | | | | \$500.00 | \$500.00 |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1000.00 | |
| Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof. | | | | | |
| Total Sheets | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | | Rate | |
| 40 - 100 = | 0 / 50 = | | | X \$250.00 | \$0.00 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than [] 20 [] 30 months from the earliest claimed priority date (37 CFR 1.492(e)). | | | | \$ | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | RATE | | |
| Total claims | 29 - 20 = | 9 | X \$50.00 | \$450.00 | |
| Independent claims | 5 - 3 = | 2 | X \$200.00 | \$400.00 | |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable) | | | + \$360.00 | \$ | |
| TOTAL OF ABOVE CALCULATIONS = | | | | \$1850.00 | |
| Reduction by 1/2 for filing by small entity, if applicable. Small entity status is claimed pursuant to 37 CFR 1.27 | | | | \$ | |
| SUBTOTAL = | | | | \$1850.00 | |
| Processing fee of \$130.00 for furnishing the English translation later than [] 20 [] 30 months from the earliest claimed priority date (37 CFR 1.492(f)). | | | | + | \$ |
| TOTAL NATIONAL FEE = | | | | \$1850.00 | |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property | | | | + | \$ |
| TOTAL FEES ENCLOSED = | | | | \$1850.00 | |
| | | | | Amount to be: | |
| | | | | refunded | \$ |
| | | | | charged | \$ |
| | | | | | |
| a. [X] Check(s) in the amount of \$1850 to cover the above fees is enclosed. | | | | | |
| b. [] Please charge the amount of \$ to cover the required filing fee for a large entity to the credit card listed on the enclosed credit card authorization form. | | | | | |
| c. [X] The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 50-3478. | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. | | | | | |
| SEND ALL CORRESPONDENCE TO: Douglas P. Mueller Hamre, Schumann, Mueller & Larson, P.C. P.O. Box 2902-0902 Minneapolis, MN 55402 | | | | | |
| | | | | SIGNATURE: |  |
| | | | | NAME: | Douglas P. Mueller |
| | | | | REGISTRATION NUMBER: | 30,300 |

IAP15 Rec'd PCT/PTO 25 APR 2006

UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: OSHIO
 Attorney Docket: 10873.1575USWO
 Title: METHOD FOR PRODUCING NITRIDOSILICATE-BASED
 COMPOUND, NITRIDOSILICATE PHOSPHOR, AND LIGHT-
 EMITTING APPARATUS USING THE NITRIDOSILICATE
 PHOSPHOR

CERTIFICATE UNDER 37 CFR 1.10

Express Mail mailing label number: EV 858801259 US

Date of Deposit: April 24, 2006

I hereby certify that the papers listed below are being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 CFR 1.10 in an envelope addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: 

Name: Abbie Larkin

Mail Stop PCT
 Commissioner for Patents
 P.O. Box 1450
 Alexandria, VA 22313-1450

52835

PATENT TRADEMARK OFFICE

Sir:

The following papers are transmitted herewith:

- ☒ Transmittal sheet, in duplicate, containing Certificate Under 37 CFR 1.10;
- ☒ Utility Patent Application including: Description - 31 pages; Claims - 3 pages; Abstract - 1 page; Drawings - 5 sheets (formal);
- ☒ Signed Combined Declaration and Power of Attorney;
- ☒ Application Data Sheet - 3 pages;
- ☒ Information Disclosure Statement, Form 1449, 15 references
- ☒ Check(s) for the amount of \$1850 to cover the filing fee calculated below;
- ☒ Other: Form PTO-1390, Communication Regarding Requested Figure, Preliminary Amendment, Substitute Specification, Marked-up Specification, International Publication Page, Form PCT/ISA/210, Form PCT/ISA/237, Form PCT/IB/304, Form PCT/IB/308
- ☒ Return postcard

CLAIMS AS FILED

| Number of Claims Filed | No. | In Excess of | Extra | Rate | Fee |
|--------------------------------------|-----|--------------|-------|--------|---------|
| Total Claims | 29 | 20 | 9 | 50.00 | 450.00 |
| Independent Claims | 5 | 3 | 2 | 200.00 | 400.00 |
| Multiple Dependent Claims Fee | | | | | 0.00 |
| Basic Filing Fee | | | | | 300.00 |
| Search Fee | | | | | 500.00 |
| Examination Fee | | | | | 200.00 |
| Utility Application Size Fee | 40 | 100 | 0 | 250.00 | 0.00 |
| Total | | | | | 1850.00 |

Please charge any additional fees or credit overpayment to Deposit Account No. 50-3478. A duplicate of this sheet is enclosed.

Hamre, Schumann, Mueller & Larson, P.C.
 P.O. Box 2902-0902 Minneapolis, MN 55402
 612.455-3800

By: 

Name: Douglas P. Mueller
 Reg. No. 30,300
 Initials: DPM/pjk

(PTO TRANSMITTAL - NEW FILING)

10/576946

IAP15 Rec'd PCT/PTO 25 APR 2006

S/N Unknown

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

| | | | |
|-------------|--|-----------------|----------------|
| Applicant: | OSHIO | Examiner: | Unknown |
| Serial No.: | Unknown | Group Art Unit: | Unknown |
| Filed: | Herewith | Docket: | 10873.1575USWO |
| Title: | METHOD FOR PRODUCING NITRIDOSILICATE-BASED COMPOUND, NITRIDOSILICATE PHOSPHOR, AND LIGHT-EMITTING APPARATUS USING THE NITRIDOSILICATE PHOSPHOR | | |

CERTIFICATE UNDER 37 CFR 1.10

Express Mail mailing label number: H 858801259 US

Date of Deposit: April 25, 2006

I hereby certify that the papers listed below are being deposited with the United States Postal Service Express Mail Post Office to Addressee service under 37 CFR 1.10 in an envelope addressed to: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

By: 

Name: Abbie Larkin

COMMUNICATION REGARDING REQUESTED FIGURE

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

In connection with the above-identified application, applicant respectfully requests that Figure 1 be printed on the front page of the published application.

If a telephone conference would be helpful in resolving any issues concerning this communication, please contact Applicants' primary attorney-of record Douglas P. Mueller (Reg. No. 30,300), at (612) 455.3804.

Respectfully submitted,

HAMRE, SCHUMANN, MUELLER &
LARSON, P.C.
P.O. Box 2902-0902
Minneapolis, MN 55402-0902
(612) 455-3800

Dated: April 25, 2006

By: 

Douglas P. Mueller
Reg. No. 30,300

DPM/pjk

53148

PATENT TRADEMARK OFFICE